

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/393,024
Filing Date	September 9, 1999
First Named Inventor	Joseph P. HEALY
Group Art Unit	3264
Examiner Name	Daniel S. Felten
Attorney Docket Number	2543-128329

Total Number of Pages in This Submission

### ENCLOSURES (check all that apply)

- |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> CD, Number of CD(s)<br><br>Remarks | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input type="checkbox"/> Other Enclosure(s) (please identify below): |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

RECEIVED

APR 07 2003

OFFICE OF PETITIONS

RECEIVED

APR 03 2003

GROUP 3600

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Venable  
P.O. Box 34385  
Washington, DC 20043-9998



26694

PATENT TRADEMARK OFFICE

Signature

Michael A. Sartori, Ph.D. Reg. No. 41,289

Date

March 31, 2003

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name

Signature

Date

**VENABLE**  
ATTORNEYS AT LAW

SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

DC2-446422



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Joesph P. HEALY et al.  
(formerly Suzanne S. ALLISON et al.)

Appl. No.: 09/393,024

Confirmation No.: 2147

Filing Date: September 9, 1999

For: SYSTEM FOR FINANCIAL  
PLANNING

Art Unit: 3264

Examiner: Daniel S. Felten

Atty. Docket No.: 2543-128329

Customer No.



26694

PATENT TRADEMARK OFFICE

RECEIVED

APR 07 2003

OFFICE OF PETITIONS

**REQUEST FOR RECONSIDERATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

RECEIVED

APR 03 2003

GROUP 3600

**REMARKS**

In response to the Office Action mailed January 13, 2003, reconsideration of the application is requested as discussed below. The Applicant has carefully and thoughtfully considered the Office Action and the comments therein. For the reasons given below, it is submitted that this application is in condition for allowance.

1. In the Office Action on pages 2-3 in section 2, claims 1, 9, 10, 25 and 26 are rejected under 35 U.S.C. § 102(b) as being anticipated by Tony Chmiel, "New Stock Market Software